

## Code of Practice for REF 2014

### 1. The Selection and Training of Staff

1.1 The selection of those staff involved in decision making in relation to REF submissions and the selection of staff and outputs for inclusion will be determined on the basis of relevant experience in research and role. These will include the leaders of Units of Assessment (who will be appointed by Deans of Faculties, and Faculty Heads of Research and Knowledge Exchange on the basis of REF experience and/or research role), Heads of Faculty Research and Knowledge Exchange, Deans of Faculties, members of the REF Management Group and the Director of Research and Knowledge Exchange.

1.2 The University REF Management Group will consist of Faculty Heads of RKE, the Director of RKE (chair), the Business Development Manager, the Senior Pro-Vice-Chancellor and the PA to the Academic Directors (Secretary). The terms of reference and membership (Appendix 4) are approved by the Senate Research and Knowledge Exchange Committee and circulated to all academic and research staff. The Management Group's responsibilities include the terms of reference set out in section 2 below, along with a requirement to ensure that procedures are being followed consistently across the University and in accordance with this Code of Practice. UoA leaders will be asked to report on this at an appropriate stage in the submission preparations.

1.3 The REF Management Group will agree the roles involved in preparing REF submissions, the occupants of those roles, and the mechanism by which selection decisions will be reached within the Units of Assessment, setting out the level(s) at which groups or committees will operate (for example, the Unit of Assessment group will report to the Management Group). Once finalised, the details for each UoA will be submitted to the REF Management Group, which itself will report to the Senate RKE Committee. Following approval, a record will be circulated to all academic and research staff in the Faculties.

1.4 The University REF Working Group will consist of leaders of each Unit of Assessment, the Faculty Heads of RKE, the Business Development Manager, the Director of RKE and the PA to the Academic Directors (Secretary). The terms of reference and membership (Appendix 5) are approved by the Senate Research and Knowledge Exchange Committee and circulated to all academic and research staff. The Working Group has an advisory role, informing the REF

Management Group of issues and matters for discussion relating to REF processes and procedures.

1.5 Each Unit of Assessment will produce terms of reference (see template in Appendix 7), in the light of the Code of Practice, outlining selection and submission process. The designated UoA leader will be responsible for providing primary feedback to staff regarding their inclusion and selection of outputs. (For the appeals process in the event of dispute, see section 3 below.)

1.6 All staff involved in formal decisions regarding REF submissions will receive training in equal opportunities issues in order to ensure they have a suitable level of understanding of the University's equality and diversity strategy, the Code of Practice for preparation of REF submissions and the relevant legislative context, including Data Protection issues. The training will take the form of briefing sessions, a self-test overseen by HR and the written guidance contained in Appendix 1 and briefing papers published by the Equality Challenge Unit.

1.7 Units of Assessment are being asked to seek external assessors for the REF dummy run in 2011/12. The external assessors will be selected on the basis of relevant involvement in previous RAEs and research expertise in the discipline. Two external assessors should be appointed for each Unit of Assessment, and they will be given this Code of Practice as part of the materials available to them for their assessment.

1.8 Membership and terms of reference for the university's REF Circumstances Panel, REF Management Group, REF Working Group, Senate RKE Committee, and a template for the Unit of Assessment teams, are appended to this policy (Appendices 3-7).

1.9 All decision-making personnel, and the groups and committees outlined above, will confirm adherence to this Code of Practice, by means of a 'statement of intent' (Appendix 8).

## **2. Terms of Reference**

All individuals and groups involved in making decisions regarding REF submissions at any level of the university will:

- 2.1 Consider and approve the draft and final versions of the REF 2014 submission relating to one or more Unit(s) of Assessment as appropriate, for forwarding as required to the REF Management Group/ Senate RKE Committee/ Vice-Chancellor for final approval.
- 2.2 Agree and communicate to staff a timescale for the development of the submission to meet deadlines laid down by the University.
- 2.3 Ensure that all discussions on submissions take place in accordance with the University's Equality and Diversity Strategy, that decisions are appropriately recorded, mindful of Data Protection issues, and that sensitive personal information is disclosed to the fewest number of people as possible. A summary of equality legislation with commentary relating it to the REF is provided in Appendix 1.

- 2.4 When drawing up the submission, scrutinise the inclusion or non-inclusion of individual members of staff in the submission, and ensure that all relevant information is obtained to inform decisions, taking account of the following criteria:
- 2.4.1 Work judged to be of a quality that does not meet the definition of two stars (as set out by the sub-panel for the Unit of Assessment), or which does not meet the published definition of research for the purposes of the REF, will not be included. Indicators used to judge research outputs will include originality, significance and rigour, as demonstrated by the extent to which knowledge, theory or understanding in the field has been increased or practice has been, or is likely to be, improved. Impact case-studies are selected on the basis of research judged to be of two-star quality or above.
- 2.4.2 In the event that fewer than four outputs meeting the required quality threshold are cited for an individual, staff may nonetheless be included provided that individual staff circumstances have been identified which fall within those set out as being relevant in the equal opportunities statement which forms part of the main panel or sub-panel guidance (see Appendix 2). These cover career and equal opportunities issues, including:
- a) absence due to maternity/parental/adoption leave;
  - b) parents returning to part-time work after maternity/parental/adoption leave in the REF assessment period;
  - c) absence due to other forms of career leave;
  - d) part-time work;
  - e) disability, including temporary incapacity that lasts for at least 12 months;
  - f) early career researchers who entered a research career or the profession during the census period;
  - g) absence for more than six months consecutively during the assessment period due to secondment, a career break, ill-health or injury;
  - h) caring responsibilities that disrupt research time;
  - i) other relevant and exceptional reasons, including *complex circumstances* involving more than one of the previous categories.
- 2.5 Ensure that academic and research staff who are eligible for submission to the REF are kept informed of progress in formulating submissions and receive individual feedback on the inclusion or otherwise of their work in the submission.
- 2.6 Ensure that individual members of academic staff who are to be included in a submission with fewer than four outputs for reasons set out in 4(ii) above are consulted on the inclusion of information in the submission which relates to their personal circumstances.
- 2.7 Comply with the requirement to ensure consistency across the institution, and conformity with REF requirements in the consideration of circumstances outlined in 2.4.2 above, especially *complex circumstances*. Evidence, in this respect, will be examined by a REF Circumstances Panel, consisting of the University's Equality and Diversity Officer, the

Director of RKE and the Chair of the University's RKE Ethics Committee (Appendix 3). Involvement in the drawing up of this section of the submission (REF1b) will be restricted to this group.

- 2.8 Ensure that external advisers are fully informed of this Code of Practice, and that any advice received from them is fully considered in the drafting of the submission. External advisers are asked to comment on the quality of an individual's research only. They will not decide which staff are to be submitted to the REF nor are they given any information relating to individual staff circumstances.
- 2.9 Take regard that fixed-term and part-time staff, including contract research staff, are protected by the University's Equality and Diversity Strategy and must be afforded the same opportunities to participate in the REF and offered the same level of support and advice in relation to it as full-time members of staff. It is to be noted that staff must be on the university's payroll, on a research or research-and-teaching contract, at 0.2 FTE or above, at the census date, 31 October 2013.
- 2.10 Comply with data requests for the Equality Impact Assessment, to be undertaken by the university's Equality and Diversity Officer, on behalf of the REF Management Group.

### **3. Appeals**

3.1 Any appeals or complaints by an individual member of staff in relation to their inclusion or non-inclusion in a REF submission, or the selection of their outputs, on the grounds of potential discrimination will be considered in the first instance by the Director of RKE. If this does not result in a resolution of the matter to the satisfaction of the individual concerned, it will then be referred to the Senior Pro-Vice Chancellor.

3.2 In view of the need for timeliness in relation to appellants' entering for the REF submission, if the appeal is successful, the appeals procedure will normally be undertaken within 14 working days. If the matter is not resolved through these procedures, the member of staff will have the right to pursue their appeal or complaint through the formal University grievance procedure.

3.3 Decisions on the inclusion of work and/or individuals on the basis of academic quality will rest with the REF Management Group reporting to Senate RKE Committee. Appeals or complaints will not be considered through the REF process unless they relate to potential discrimination.

### **4. Data Protection issues**

4.1 The University has an obligation to provide some personal information on staff for the purposes of the REF. The University will only share information which it is under an obligation to provide. Full details of the University's Data Protection Policy can be found on the Freedom of Information pages of the university's external web site.

4.2 All staff have the right of access to data held which relates to them personally and appropriate care should therefore be taken in record keeping during REF preparations to ensure

that what is recorded is accurate and defensible, particular as regards any matters of opinion rather than fact.

## **5. Review and Submission of the Code of Practice**

5.1 This Code of Practice was reviewed during the REF dummy submission process in the summer of 2012, and submitted to the REF Team by the deadline of 31 July 2012. An Equality Impact Assessment was prepared and submitted to the REF Team in February 2014, to demonstrate the university's conformity with this Code of Practice.

Professor Tony King  
Director of Research and Knowledge Exchange

[Code of Practice, version 5, February 2014]

### **List of Appendices** (not all attached with this version)

1. Summary of Equality Legislation (from REF 02.2011, 36-38) [not attached]
2. Sample email and form relating to disclosure of individual staff circumstances
3. Terms of reference and membership of University of Winchester REF Circumstances Panel
4. Terms of reference and membership of University of Winchester REF Management Group
5. Terms of reference and membership of University of Winchester REF Working Group
6. Constitution and membership of University of Winchester Senate Research and Knowledge Exchange Committee
7. Sample terms of reference and membership for a Unit of Assessment team
8. Sample 'statement of intent'

## APPENDIX 2 Sample email and form relating to disclosure of individual staff circumstances

To: All members of staff eligible for return in REF 2014

From: Prof A C King, Director of RKE

Subject: REF 2014, consideration of individual staff circumstances

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The University of Winchester is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the University of Winchester's *Code of Practice for REF 2014*.

To ensure that REF processes are fair, the University is collecting data on individual circumstances from all staff eligible for submission. The data will be used to identify which staff are eligible for submission with fewer than four outputs. Summary level data collected may also inform the University's monitoring of staff selection procedures at the institutional level.

In determining whether eligible staff may be submitted to the REF with fewer than four research outputs, the University's REF Circumstances Panel will take the following circumstances into consideration:

- Early career researcher (started career as an independent researcher on or after 1 August 2009)
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment

If your research output has been affected by other circumstances, not including teaching and administration that are not listed above, please detail them on this form as they may be considered.

**In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' (January 2012) available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications'.**

## **What action do you need to take?**

If you are eligible for REF submission you are encouraged to complete the attached form.

If further information is required about any circumstances disclosed, you will be contacted by the REF Circumstances Panel.

## **Who will see the information that you provide?**

Within the institution, the information that you provide will be seen by the university's REF Circumstances Panel.

Members of the Panel handling individual staff circumstances will observe confidentiality and information will be stored securely.

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For **circumstances with a clearly defined reduction in outputs**, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.
- For **more complex circumstances**, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will **not** be seen by the REF sub-panel.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals' circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998.

The REF Assessment Framework and Guidance on Submissions [www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/), requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. [Delete is not applicable: Where joint submissions are made it may be necessary to share the information provided with another institution.]

## **What if your circumstances change?**

The University recognises that staff circumstances may change between 1 January 2008 and 31 October 2013. If your circumstances change you can download a copy of the attached form, available on the RKE area of the internal web pages.



# Research Excellence Framework 2014

## Staff disclosure

### Individual staff circumstances disclosure form

<b>Name</b>	
<b>Department</b>	
<b>Unit of Assessment</b>	

#### Section one:

**Please select one of the following:**

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

#### Section two:

**Please select as appropriate:**

- I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by the University of Winchester. My contact details for this purpose are:

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

- I do **not** wish to be contacted by a member of human resources staff

#### Section three

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career researcher
<b>Information</b>	
Part time employee	FTE and duration in months
<b>Information</b>	
Career break or secondment outside of the higher education sector	Dates and duration in months
<b>Information</b>	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
<b>Information</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <b>in addition to</b> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	

Please select as appropriate:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will be used for REF purposes and will be seen by [insert information].
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. Where permission is not provided, the University of Winchester will be limited in the action it can take.

Signature: ..... Date: .....

(Staff member)

## For official use only

Following consideration of the personal circumstances described above, the University of Winchester REF Circumstances Panel:

- Will progress the staff member's inclusion in the REF submission with [insert number] of research outputs. [Subject to specified institutional criteria]. Rationale for the proposed number of outputs:

*e.g. this decision is based on the tariffs outlined in the panel criteria.*

- Requires further information of the circumstances described as follows:

*e.g. please provide information from your occupational health assessment on the effectiveness of reasonable adjustments provided.*

- Does not feel that the staff member meets the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than four research outputs. The reason(s) for this decision are:

*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions.*

If [insert name of staff member] wishes to appeal against the decision of the University of Winchester REF Circumstances Panel, they will need to do so by [insert date] and details of the appeals process can be found at [insert web address].

Signature: ..... Date: .....

*(Director of RKE)*

Signature: ..... Date: .....

*(Chair of REF Circumstances Panel)*

## **REF 2014 CIRCUMSTANCES PANEL TERMS OF REFERENCE 2012-13**

### **1. Membership**

Chair of the RKE Ethics Committee (Chair)	Dr Bridget Egan
Director of Research & Knowledge Exchange	Professor Tony King
Equality and Diversity Officer	Lenny Dalby
PA to the Academic Directors (Minute-taker and Administrator)	Debbie Mildenhall

### **2. Terms of Reference**

The Panel will:

- (a) adopt the University's Code of Practice for REF 2014 as its terms of reference and working document, together with additional materials made available by the Equality Challenge Unit.
- (b) administer the invitation to staff to declare circumstances relevant to submission to REF 2014 (see Code of Practice for REF 2014, Appendix 2).
- (c) receive and consider declarations of circumstances by staff, make decisions about the eligibility of circumstances in relation to reductions of outputs, and convey responses and decisions, with rationale, to staff.
- (d) present a digest of decisions to the REF Management Group, and to relevant UoA Managers.
- (e) maintain confidentiality at all times, and retain staff circumstances data no longer than two months after the final deadline for REF 2014 submission.

### **3. Meetings**

Meetings will be held after the initial deadline for staff declaration of circumstances, with additional subsequent meetings as required.

### **4. Quorum**

There shall be a quorum when all the members are present.

### **5. Minutes**

Minutes shall be kept of the proceedings of all meetings of the Panel, and a copy sent to REF Management Group.

## **REF MANAGEMENT GROUP CONSTITUTION 2010-11**

### **1. Membership**

**Chair:** Director of Research & Knowledge Exchange

Professor Tony King

Senior Pro-Vice-Chancellor  
Faculty of Arts Head of RKE  
Faculty of Business, Law & Sport Head of RKE  
Faculty of Education, Health & Social Care Head of RKE  
Faculty of Humanities & Social Sciences Head of RKE

Professor Elizabeth Stuart  
Dr Inga Bryden  
David Chalk  
Dr Stephanie Spencer  
Dr Tom Lawson  
(Dr Keith Wilkinson in  
2011-12)

REF Impact Officer:

Trish Kernan

#### **Substitutes**

Faculty of Arts  
Faculty of Business, Law & Sport  
  
Faculty of Education, Health & Social Care  
Faculty of Humanities & Social Sciences

Professor Jude Davies  
Adam Palmer, REF Co-ordinator  
BLS  
Prof Joyce Goodman  
tbc

#### **Secretary:**

PA to the Academic Directors

Debbie Mildenhall

### **2. Terms of Reference**

The Committee will:

- (a) Be set up consisting of Faculty Heads of RKE, the Director of RKE (chair), the Senior Pro-Vice-Chancellor and the PA to the Academic Directors (Secretary).
- (b) Will agree the Institutional Code of Practice for REF 2014 and manage the implementation of equality and diversity training for all UoA Managers and the Equality Impact Assessment.
- (c) Will agree the roles involved in preparing REF submissions, the occupants of those roles, and the mechanism by which selection decisions will be reached within the Units of Assessment, setting out the level(s) at which groups or committees will operate (for example, the Unit of Assessment group will report to the Management Group).

- (d) Consider and approve the draft and final versions of the REF 2014 submission relating to the Unit(s) of Assessment, for forwarding as required to the Vice-Chancellor for final approval.
- (e) Agree and to communicate to staff a timescale for the development of the submission to meet deadlines laid down by the University.
- (f) Ensure that all discussions on submissions take place in accordance with the University's Equality and Diversity Strategy and with the University's Code of Practice for REF 2014, that decisions are appropriately recorded, mindful of Data Protection issues, and that sensitive personal information is disclosed to the fewest number of people as possible.
- (g) When drawing up the submission, scrutinise the inclusion or non-inclusion of individual members of staff in the submission, and ensure that all relevant information is obtained to inform decisions.

### **3. Meetings**

Meetings will be held three times per academic year; additional meetings will be convened as required.

### **4. Quorum**

There shall be a quorum when half the members plus one are present.

### **5. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

### **6. Minutes**

Minutes shall be kept of the proceedings of all meetings of the Committee, and a copy sent to Senate RKE.

### **7. Attendance of Advisors**

The Chair may invite to a meeting a person or persons to act in an advisory capacity.

### **8. University Officers**

The Chair may invite other members of staff to attend from time to time, in relation to specific issues, as appropriate.

### **9. Amendments to the Constitution**

Amendments to the Constitution may be made at a duly constituted meeting of Senate RKE.

**APPENDIX 5 Terms of reference and membership of University of Winchester REF Working Group**

**REF WORKING GROUP  
CONSTITUTION 2011-12**

**1.Membership**

**Chair:** Dr Inga Bryden

**Director of RKE:** Professor Tony King

**REF Impact Officer:** Trish Kernan

**Leaders of Units of Assessment:**

No. 33 Archaeology Dr Keith Wilkinson

No. 45 Education Dr Stephanie Spencer/  
Professor Joyce Goodman

No. 61 Theology & Religious Studies Dr Neil Messer

No. 62 History Professor Michael Hicks

No. 35 Drama, Dance & Performing Arts Dr Millie Taylor

No. 36 Communication, Cultural & Media Studies Dr Neil McCaw

**Leaders of Units of Assessment preparing for Probable REF Submission:**

No. 36 Business Professor Neil Marriott /  
Dr Adam Palmer

No. 44 Psychology Professor Nick Braisby

**Leaders of Units of Assessment Building Research Capacity looking beyond REF:**

No. 29 English Language and Literature Dr Kris Spelman Miller

No. 38 Law David Chalk

No. 46 Sport David Chalk

**Secretary**

PA to the Academic Directors Debbie Mildenhall



## **2. Terms of Reference**

The Committee will:

- (a) The University REF Working Group will be set up consisting of leaders of each Unit of Assessment, the Business Development Manager, the Faculty Heads of RKE and the Director of RKE.
- (b) The terms of reference and membership will be approved by the Senate Research and Knowledge Exchange Committee and circulated to all academic and research staff.
- (c) The Working Group has an advisory role, informing the REF Management Group of issues and matters for discussion relating to REF processes and procedures.

## **3. Meetings**

Meetings will be held three times per academic year; additional meetings will be convened as required.

## **4. Quorum**

There shall be a quorum when half the members plus one are present.

## **5. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

## **6. Minutes**

Minutes shall be kept of the proceedings of all meetings of the Committee, and a copy sent to Senate.

## **7. Attendance of Advisors**

The Chair may invite to a meeting a person or persons to act in an advisory capacity.

## **8. University Officers**

The Chair may invite other members of staff to attend from time to time, in relation to specific issues, as appropriate.

## **9. Amendments to the Constitution**

Amendments to the Constitution may be made at a duly constituted meeting of Senate.

**APPENDIX 6 Constitution and membership of University of Winchester Senate Research and Knowledge Exchange Committee**

**SENATE RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE  
CONSTITUTION 2011-12**

**1. Title**

The Committee shall be called the **Senate Research and Knowledge Exchange Committee**. It is a sub-committee of Senate.

**2. Membership**

**Chair** (Director of Research & Knowledge Transfer)

***Ex-Officio:***

Senior Pro Vice Chancellor  
Director of Postgraduate Research Students  
Chair of Research & Knowledge Exchange Ethics Committee  
Director of Learning & Teaching  
Faculty of Arts Head of RKE  
Faculty of Business, Law & Sport Head of RKE  
Faculty of Education, Health & Social Care Head of RKE  
Faculty of Humanities & Social Sciences Head of RKE  
Business Development Manager  
Research & Knowledge Exchange Co-ordinator

**Elected:**

One representative of the contract staff in each Faculty, nominated for their expertise and experience by and from each Faculty:

Faculty of Arts  
Faculty of Business, Law & Sport  
Faculty of Education, Health & Social Care  
Faculty of Humanities & Social Sciences

One representative from the group of Project and Research Officers

**17 Members**

**In attendance:**

Head of Finance  
Director of IT Services  
Head of Library Services

Secretary to the Committee: RKE Administrator

### **3. Terms of Reference**

The Committee will:

- (a) Produce, develop and monitor the University Research and Knowledge Exchange strategy for approval by Senate;
- (b) Develop and monitor strategies for its implementation;
- (c) Foster innovation in research and knowledge exchange;
- (d) Monitor and evaluate research and knowledge exchange activity within the University;
- (e) Advise senior managers, including Deans of Faculties, on the provision of support for research and knowledge exchange;
- (f) Advise the Training and Development Group of the staff development needs of the institution in relation to research and knowledge exchange;
- (g) Consider representations from staff who wish to appeal against a decision made by members of the RKE Grants Committee;
- (h) Promote value for money through ensuring that services are delivered in the most effective, efficient and economical way;
- (i) Report on research and knowledge exchange activity to Senate.

### **4. Meetings**

Meetings will be held four times per academic year; additional meetings will be convened as required.

### **5. Quorum**

There shall be a quorum when half the members plus one are present.

### **6. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

### **7. Minutes**

Minutes shall be kept of the proceedings of all meetings of the Committee, and a copy sent to Senate.

### **8. Attendance of Advisors**

The Chair may invite to a meeting a person or persons to act in an advisory capacity.

**9. University Officers**

The Chair may invite other members of staff to attend from time to time, in relation to specific issues, as appropriate.

**10. Amendments to the Constitution**

Amendments to the Constitution may be made at a duly constituted meeting of Senate.

## APPENDIX 7 Sample terms of reference and membership for a Unit of Assessment team

### REF 2014 UoA [number and name] GROUP CONSTITUTION 2012-13

#### 1. Membership

**Chair:** UoA Manager (as designated by the UoA staff group)

**Other members:** Academic staff members of the UoA (at least 2)

**Secretary:** Subject administrator or equivalent

#### 2. Terms of Reference

The Group will:

- (a) develop the REF 2014 submission for the UoA.
- (b) arrange for external assessors to evaluate a mock REF submission, and to convey the results of external evaluations to the REF Management Group.
- (c) ensure timely adherence to the REF timetable for submission, census data, etc.
- (d) co-ordinate with the REF Management Group and the RKE Centre in respect of providing data, outputs and other information relevant to the submission process.
- (e) receive outline decisions from the REF Circumstances Panel relating to reductions in outputs for staff in the UoA.
- (f) ensure all members of the Group undertake equality and diversity training for the REF, as specified by the REF Management Group, and outlined in the Code of Practice for REF 2014.
- (g) adhere to the Code of Practice for REF 2014.
- (h) keep a minuted record of decisions relating to selection of staff, outputs and other aspects of the UoA submission.

#### 3. Meetings

Meetings will be held three times per academic year in the period 2012-13; additional meetings will be convened as required.

#### 4. Quorum

There shall be a quorum when half the members plus one are present.

**5. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

**6. Minutes**

Minutes shall be kept of the proceedings of all meetings of the Committee, and a copy sent to REF Management Group.

## **APPENDIX 8 Sample Statement of Intent**

**The membership of the [name of committee, group, etc] affirm that all members have undertaken equality and diversity training for REF 2014, as specified by the REF Management Group, and that they will work within the Terms of Reference outlined in the University of Winchester's Code of Practice for REF 2014.**

The following groups will adhere to this Statement of Intent:

REF Circumstances Panel

REF Management Group

REF Working Group

REF UoA Groups